

THE PATENTS ACT, 1970

IT IS HEREBY CERTIFIED THAT, the annex is a true copy of Application and complete specification filed on 18.09.2003 in respect of Patent Application No. 975/MUM/2003 of Mahindra & Mahindra Ltd., an Indian company registered under the Indian Companies Act, 1913, Gateway Building, Apollo Bunder, Mumbai 400001, India.

This certificate is issued under the powers vested in me under Section 147 (1) of the Patents Act, 1970. ....

..... Dated this 10 /<sup>th</sup> day of November 2003

M.A. Haafeez.

(M.A. HAAFEEZ)

ASST. CONTROLLER OF PATENTS & DESIGNS

THE PATENTS ACT, 1970  
[39 OF 1970]APPLICATION FOR GRANT OF PATENT  
SEE SECTION 5(2), 7 54 AND 135 AND RULE 33A

1

We,  
**MAHINDRA & MAHINDRA LTD**  
**AN INDIAN COMPANY REGISTERED**  
**UNDER THE INDIAN COMPANIES ACT,**  
**1913**  
**GATEWAY BUILDING, APOLLO BUNDER,**  
**MUMBAI 400001**  
**NATIONALITY: INDIAN**

2

hereby declare

(a) that we are in possession of an invention titled  
"Method for Producing gears and / or  
shaft components with superior Bending  
fatigue strength and Pitting fatigue life  
from conventional alloy steels"

(b) that the Complete Specification relating to this  
invention is filed with this application.

(c) that there is no lawful ground of objection to the  
grant of a patent to us.

3

further declare that the inventors for the said  
invention is

1. Mr. Ajithkumar Sandur,  
604, Satyam Towers,  
Near Thakur Polytechnic,  
Thakur Complex,  
Kandivali (E).  
Mumbai - 400 101, Maharashtra State, India  
Nationality Indian

4

We claim the priority from the application(s) filed  
in convention countries, particulars of which are as  
follows:  
NA

5

We state that the said invention is an improvement  
in or modification of the invention, the particulars  
of which are as follows and of which we are the  
applicant/patentee  
NA



975/MUM/2003

18/9/2003

Received Rs. 2000/- in Cash  
Patent M. No. 18/9/03  
Vide Entry No. 1805 in the  
Register of Inventors, Bombay

18/9/03

Signature

6

We state that the application is divided out of our application, the particulars of which are given below and pray that this application deemed to have been filed on under section 16 of the Act.

A] NA

B] NA

7

That we are the-legal assignee or legal representative of the true and first inventors.

8

That our address for service in India is as follows:

TAS & CO.

Advocates, Patent & Trade Mark Attorneys

1&2/19, Ganga, Swastik Park, V N Purav

Marg, Chembur, Mumbai 400071.

Tel: 25220075

Fax 25277535

9

*S. Ajin K*

Following declaration was given by the inventor[s] or applicant[s] in the convention country:

I am, the true and first inventors for this invention or the applicant[s] in the convention country declare that the applicant[s] herein are our assignee or legal representative

NA

10

That to the best of our knowledge information and belief the fact and matters stated herein are correct and that there is no lawful ground of objection to the grant of patent to us on this application.

11

Following are the attachment with this application:

A] ~~Provisional~~/Complete Specification [3 copies]

B] Statement and Undertaking on Form 3

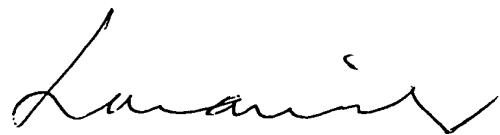
D] Power of Authority

E] Fee Rs. 5000/-

We request that a patent may be granted to us for the said invention.

Dated this 3<sup>rd</sup> day of Sept, 2003

**FOR MAHINDRA & MAHINDRA LTD**



(K.J. DAVASIA)

To,  
The Controller of Patents,  
The Patent Office at Mumbai

FORM 2

THE PATENTS ACT, 1970  
[39 OF 1970]

COMPLETE SPECIFICATION  
[SEE SECTION 10]

**1 TITLE**

**"Method for Producing gears and / or shaft components with superior Bending fatigue strength and Pitting fatigue life from conventional alloy steels"**

**2 APPLICANT**

**NAME MAHINDRA & MAHINDRA LTD.**

**ADDRESS GATEWAY BUILDING  
APOLLO BUNDER  
MUMBAI 400001.  
MAHARASHTRA STATE.  
INDIA**

**NATIONALITY INDIAN COMPANY REGISTERED UNDER THE INDIAN  
COMPANIES ACT, 1913**

**The following specification particularly describes the nature of the invention and the manner in which it is to be performed:-**

## FIELD OF INVENTION

This invention relates to achieving both superior Bending fatigue strength  
5 and Pitting fatigue life of gear(s) and/or shaft components, using  
"conventional alloy steel " by a method having following steps in sequence.

Step 1 : Modified Carbonitriding treatment

Step 2 : Hard Shot peening process

10

## BACKGROUND ART

Carburising , hardening and tempering ( hereafter called only " carburised " )  
have been followed commonly over years for gear train transmission  
components in many designs so as to increase load carrying capacity.  
15 However, load carrying capability produced after carburising is limited by  
microstructural and/or sub microstructural anomalies such as grain boundary  
oxidation , segregated carbides , bainite and alike anomalies. It has not been  
possible to extend, beyond certain limits, the load carrying capability of such  
transmissions without geometrical changes of components. Such geometrical  
20 changes in transmissions come with following significant disadvantages

Increases in weight, fuel consumption, development cost, development time and product cost and which ultimately results in increased customer  
5 dissatisfaction

Geometrical changes in transmission components result in weight increase as mentioned above, impose more loads on engines. Higher engine loads lead to higher emissions. To address higher emission problems, engine  
10 designs are required to undergo associated changes to reduce such emissions and this further increases the design and manufacturing costs.

Many a times space constraints in existing transmissions will make such geometric design changes very difficult to accommodate.  
15

Several other surface treatment related techniques have been evolved and being used in the recent years to make surfaces and sub surfaces more durable and reliable for higher torque transmitting capabilities of transmissions, already in use.  
20

Some of the techniques available take advantage of the residual compressive stresses. However, such techniques have limited applications as they make  
5 use of special steels and/or elaborate Heat Treatment processes leading to higher production costs. Further, they are not able to produce simultaneous improvements in bending fatigue strength and pitting fatigue life.

Patent references :

10

1) US Patent No. 6,447,619 uses special steels with 0.3 to 3.0 weight % Aluminium and 0.2 to 2.0 weight. % Vanadium. The disclosure claims increase in pitting life only and does not address bending fatigue strength, essential for gear(s) and/or shaft of the components. Further the special steel  
15 used for processing requires special steel making process which increases production costs.

2) US Patent No 5,595,613 claims to produce superior pitting resistance and wear resistance only with special steels having 1.5 to 5.0 weight %  
20 Chromium .The treatment does not address bending fatigue strength. Further

the special steel used for processing requires special steel making process which increases production costs.

- 5 3) US Patent No. 5,019,182 claims to use heat treatment route which does not address Tempering process. In absence of tempering process after quenching, quenching stresses are not relieved prior to service leading to dimensional instability and susceptibility to cracking. Further, the bending fatigue strength is not addressed in the claim.

10

In light of the existing prior-art, there is long standing demand to provide both superior bending and pitting fatigue life on gear(s) and/or shaft components simultaneously using "conventional alloy steel " which is described as cheaper, most widely used and widely available steels for  
15 gear(s) and/or shaft components. All above disclosures do not provide complete solutions for producing both superior bending fatigue strength and pitting fatigue life simultaneously.

20



## SUMMARY OF INVENTION

It is the object of this present invention to achieve both superior pitting and  
5 bending fatigue strengths of gear(s) and/or shaft components simultaneously

using "conventional alloy steel" (hereafter called only "conventional  
steel") which is described as cheaper, most widely used and most widely  
10 available for gear(s) and/or shaft components, by a method having following  
steps in sequence.

Modified Carbonitriding treatment

Hard Shot Peening. process

15

The second aspect of the present invention is to provide the said method for  
enhancing load carrying capability of transmissions without geometrical  
changes resulting in reduction of weights for higher load carrying capability,  
fuel consumption, development cost, development time and product cost and  
20 in turn give higher satisfaction to the customer.

Another aspect of the present invention is to avoid geometrical changes in transmission components resulting in maintaining same weight and hence lower emission levels for enhanced load carrying capabilities.

5

Another aspect of the present invention is to provide solution to the problem of providing additional space in transmissions in case of geometric design changes are required to be introduced. The invention is also beneficial in such cases where the space constraints do not permit any geometric changes.

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#### BRIEF DESCRIPTION OF THE DRAWINGS

FIGURE shows heat treatment cycle of Modified Carbonitriding This is followed by Hard shot peening

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#### DETAILED DESCRIPTION OF THE INVENTION

The present invention features achieving both superior bending fatigue strength and pitting fatigue life of gear(s) and / or shaft components using "conventional steel" by a method having following steps in sequence.

20

Modified Carbonitriding treatment

Hard Shot Peening. process

- 5 "Conventional steel" used in the present invention is either one of the following types.

"Conventional steel" type 1 :

- 10 Steel material comprising 0.10 to 0.30 weight % Carbon , 0.15 to 0.35 weight % Silicon , 0.8 to 1.5 weight % Chromium , 0.6 to 1.5 weight % Manganese , 0.017 to 0.040 weight % Aluminium , and balance iron including impurities , produced in vacuum degassing and alike routes.

- 15 "Conventional steel" type 2 :

Steel material comprising 0.10 to 0.30 weight % Carbon , 0.15 to 0.35 weight % Silicon , 0.3 to 1.5 weight % Chromium , 0.30 to 2.0 weight % Nickel , 0.08 to 0.50 weight % Molybdenum , 0.6 to 1.5 weight %

Manganese , 0.017 to 0.040 weight % Aluminium and balance iron including impurities , produced in vacuum degassing and alike routes ,

- 5 The rationale for choosing the "conventional steel" having the said compositions are as follows:

"Conventional steel" type 1:

- 10 Carbon inherently present in any steel is restricted in the range of 0.1 to 0.3 weight %. Lower than 0.1 weight % will not have sufficient core strength after the present processing. More than 0.3% will lead to core brittleness and reduced toughness. The response to heat treatment process will also be poor depending on higher Carbon contents.

15

Silicon is an essential element for de-oxidation of molten steel and hence minimum of 0.15 weight % is specified to ensure that de-oxidation is effectively taken care of. Higher than 0.35 weight % will entail more silicate inclusions affecting forgeability, machinability and reliability in service.

20

Chromium is easily available element for increasing hardenability. It is limited between 0.8 to 1.5 weight % to ensure adequate hardenability in the steels for gear(s) and / or shaft components, in combination with Manganese. Higher than the limits will entail intergranular oxidation in the heat treated layers during carburising.

Manganese is yet another essential element effective in de-oxidation during melting and imparting hardenability. Not less than 0.6 weight % ensures de-oxidation and holds sulphur together. More than 1.5 weight % will lead to forgeability and machinability problems. It is easily available and cheaper element to increase the hardenability of the material for adequate core strengths and reasonable toughness

15

Aluminium content in the range 0.017 to 0.040 weight % gives fully killed steel and does not contribute significantly in the nitride formation and stabilizing retained Austenite necessitating use of Modified Carbonitriding treatment for the purpose.

20

Trace elements like Nb , Ti , Zr , Cu and B are adjusted in such a way that the total contents are below 0.60 weight % . Nitrogen content is kept at 55 to 90 parts per million

( ppm ) and hydrogen is not more than 2.5 ppm . Calcium and Sulphur are usually added in suitable quantities to improve morphology of inclusions to facilitate machinability

The steel during melting is treated by standard Vacuum degassing cycle to maintain lower oxygen contents (Oxygen content in the product not more than 20 ppm ) and hence limit size and distribution of inclusions to a degree that the component is fit for the applications already mentioned .

"Conventional steel" type 2:

Carbon inherently present in any steel is restricted in the range of 0.1 to 0.3 weight % . Lower than 0.1 weight % will not have sufficient core strength after the present processing. More than 0.3% will lead to core brittleness and

reduced toughness. The response to heat treatment process will also be poor depending on higher Carbon contents.

Silicon is an essential element for de-oxidation of molten steel and hence  
5 minimum of 0.15 weight % is specified to ensure that de-oxidation is effectively taken care of. Higher than 0.35 weight % will entail more silicate inclusions affecting forgeability, machinability and reliability in service.

Chromium is easily available element for increasing hardenability. It is  
10 limited between 0.3 to 1.5 weight % to ensure adequate hardenability in the steels for gear(s) and / or shaft components, in combination with Manganese , Nickel and Molybdenum. of suitable quantities mentioned above. Higher than the limits will entail intergranular oxidation in the heat treated layers during carburising.

15

Nickel is another essential element effective in ensuring hardenability and improve toughness , required in critical applications. The required quantity is to be not less than 0.3 weight % for ensuring the toughness and hardenability. The upper limit is set to 2 weight % arrived at based on the  
20 effect in combination with other elements mentioned above.

Molybdenum is yet another highly effective element in promoting hardenability of the surface and in the core portion. The lower limit is set to 0.08 weight % to be effective in promoting hardenability. The upper limit of 5 0.5 % is set in combination with other elements mentioned above.

Manganese is yet another essential element effective in imparting hardenability, de-oxidation during melting. Not less than 0.6 weight % ensures de-oxidation and holds sulphur together. More than 1.5 weight % 10 will lead to forgeability and machinability problems. It is also easily available and cheaper element to increase the hardenability of the material for adequate core strengths and reasonable toughness.

Aluminium content in the range 0.017 to 0.040 weight % gives fully killed 15 steel and does not contribute significantly in the nitride formation and stabilizing retained Austenite necessitating use of Modified Carbonitriding treatment for the purpose.



Trace elements like Nb , Ti , Zr , Cu and B are adjusted in such a way that the total contents are below 0.60 weight % . Nitrogen content is kept at 55 to

5 90 parts per million

( ppm ) and hydrogen is not more than 2.5 ppm . Calcium and Sulphur are usually added in suitable quantities to improve morphology of inclusions to facilitate machinability

10 The steel during melting is treated by standard Vacuum degassing cycle to maintain lower oxygen contents (Oxygen content in the product not more than 20 ppm ) and hence limit size and distribution of inclusions to a degree that the component is fit for the applications already mentioned .

#### 15 Modified Carbonitriding :

The gear(s) and/or shaft components are manufactured as per conventional gear machining practice for highway, off-highway vehicle transmissions and similar industrial transmissions. The said components after machining are

loaded in a standard sealed quench furnace having requisite facilities for automatic measurement and feedback mechanisms for carbon potential, temperature and time and facility for ammonia introduction is to be in place.

- 5 Furnaces other than standard sealed quench furnaces having above requisite capabilities are also covered in the object of the invention.

The first step in the heat treatment cycle is Carburising (Refer FIGURE ). The carburising is done at 915 degree Centigrade with equal boost and  
10 diffusion periods with Carbon potential ( $C_p$ ) 1.0 and 0.8 respectively , using carrier gas and enricher gases. The temperature of not less than 900 degree Centigrade at which the carbon diffusion is more pronounced is covered in the invention. The effective case depth covered is in the range of 0.3 to 1.7 mm (cut off hardness 513 Hv). Effective case depths less than 0.3 mm do  
15 not provide adequate pitting resistance and more than 1.7 mm have deleterious effects on the fatigue properties for the applications covered in the scope of invention.

At the end of carburising cycle , the component is cooled inside the furnace to 850 degree Centigrade and ammonia is introduced with 15% of the whole furnace gas mixture ( rest of the percent being carrier gas ) . The cycle is  
5 carried out for minimum 30 minutes. Temperature not less than 840 degree Centigrade and not more than 870 degree Centigrade is also covered as part of the invention to facilitate pronounced nitrogen diffusion upto a depth of 0.3 mm. Similarly ammonia not less than 15% and not more than 20% of the whole furnace gas mixture is covered for the "conventional steel" in  
10 which nitrogen absorbing elements and elements promoting diffusion of nitrogen are not in sufficient quantities.

To minimize distortions in the steel components, quenching in suitable medium at 120 to 150 degree Centigrade is maintained in the present  
15 invention. Depending on the criticality of the component, the quenching medium temperature of not less than 50 C is covered in the object of the invention.

Tempering temperature of 180 degree Centigrade is adopted for the purpose of relieving quenching stresses, without reduction in retained austenite produced after quenching, as above. The temperature not less than 160  
5 degree Centigrade is covered to relieve quenching stresses.

Hardness after Modified Carbonitriding is maintained at not less than 740 Hv at a depth of 0.05 to 0.35 mm below the surface. The stresses responsible for pitting (called "Hertzian" stresses ) are maximum at depth range  
10 mentioned here in the applications mentioned above. The hardness will get further enhanced during Hard shot peening and will provide adequate safety against pitting failures for the applications already covered.

The bending fatigue strength, which is a function of maximum residual  
15 compressive stress below the surface, is also enhanced by Hard shot peening.

### Hard Shot Peening :

Further processing by Hard shot peening of the gear(s) and/or shaft  
 5 components has simultaneous benefits of increasing the bending fatigue  
 strength not less than 30% and pitting fatigue life by more than 3 times. The  
 results have been confirmed in severe, rigorous and accelerated transmission  
 endurance trials for life time, in comparison with conventional " carburising  
 " component run with conventional monograde GL-4 gear oil , with oil  
 10 temperature reaching upto 95 degree Centigrade. Similar results are covered  
 with GL-4 or higher performance category multigrade oils with the present  
 invention.

The improvement in bending fatigue strength results are further confirmed  
 15 with Residual stress measurements using non- destructive Rigaku X-ray  
 diffraction treatment upto a depth of 150 microns of actual component with  
 conventional "Carburising " route and " Modified Carbonitriding with Hard  
 Shot Peening " method using "conventional steel" . The maximum residual  
 compressive stresses of 1500 Mpa and corresponding bending fatigue

strength improvement of 30 to 80 % are covered in the present invention

The roughness and finish of the component surface influences the  
5 lubrication condition during engagement of with the mating components.  
Keeping in mind that the gears need to be within the intended surface quality  
norms , the parameters are limited to as below,

shot size ranging from 0.5 to 0.8 mm ,

10 shot hardness 610 to 800 Hv,

shot velocity 60 to 150 m/sec ,

part coverage 200 to 500 %

Almen A arc height 0.6 to 0.9 mm.

15

20

We claim:

- 1      A method comprising following steps in sequence for producing both  
superior bending fatigue strength and pitting fatigue life of gear(s) and/or  
5    shaft components made of steel.

Modified Carbonitriding treatment

Hard Shot Peening process

- 10    2      The said method as claimed in Claim 1 where in said steel material  
comprising 0.10 to 0.30 weight % Carbon , 0.15 to 0.35 weight % Silicon ,  
0.8 to 1.5 weight % Chromium , 0.6 to 1.5 weight % Manganese , 0.017 to  
0.040 weight % Aluminium , and balance iron including impurities ,  
produced in vacuum degassing and alike routes.

15

- 3      The said method as claimed in Claim 1 where in said steel material  
comprising

0.10 to 0.30 weight % Carbon , 0.15 to 0.35 weight % Silicon , 0.3 to 1.5 weight % Chromium , 0.30 to 2.0 weight % Nickel , 0.08 to 0.50 weight  
 5 % Molybdenum , 0.6 to 1.5 weight % Manganese , 0.017 to 0.040 weight % Aluminium and balance iron including impurities , produced in vacuum degassing and alike routes.

4 The said steel material as claimed in Claim 2 or 3 treated by the said  
 10 Modified Carbonitriding treatment as claimed in 1(a) comprising the following steps in sequence,

Carburising at 900 to 1050 degree Centigrade ,

Cool down to 840 to 870 degree Centigrade for Carbonitriding with 15 to 20  
 15 % Ammonia ,

Quench in a medium at 120 to 150 degree Centigrade

Tempering at 160 to 180 degree Centigrade



5      The said steel material as claimed in Claim 2 and 3 processed by the

said Hard Shot Peening process as claimed in 1(b) having the following  
process parameters.

5      shot size ranging from 0.5 to 0.8 mm ,

shot hardness 610 to 800 Hv,

shot velocity 60 to 150 m/sec ,

part coverage 200 to 500 % and

Almen A arc height 0.6 to 0.9 mm and

10

Dated this 18<sup>th</sup> day of September 2003

MAHINDRA & MAHINDRA LTD.

By their Advocates, Patent & Trade Mark Consultants

15



Shyam Sunder Iyer  
Patent Agent  
TAS & CO.

20

To,

The Controller of Patents, The Patent Office at Mumbai

25

**Abstract**

A conventional aluminium killed alloy Steel for case hardening of gear(s) and/or shaft components consisting of 0.10 to 0.30 weight % Carbon , 0.15 to 0.35 weight % Silicon , 0.8 to 1.5 weight % Chromium , 0.6 to 1.5 weight % Manganese , 0.017 to 0.040 weight % Aluminium , and balance iron including impurities , produced by vacuum degassing and alike routes.

Gear(s) and/or shaft components made by the above steel when treated by Modified Carbonitriding followed by Hard Shot Peening process provide both superior bending fatigue strength and pitting fatigue life , capable of withstanding higher torque levels and speeds.

Dated this 18<sup>th</sup> day of September 2003

15

**MAHINDRA & MAHINDRA LTD.**

By their Advocates, Patent &amp; Trade Mark Consultants

20

Shyam Sunder Iyer  
Patent Agent**TAS & CO.**

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To,  
The Controller of Patents, The Patent Office at Mumbai

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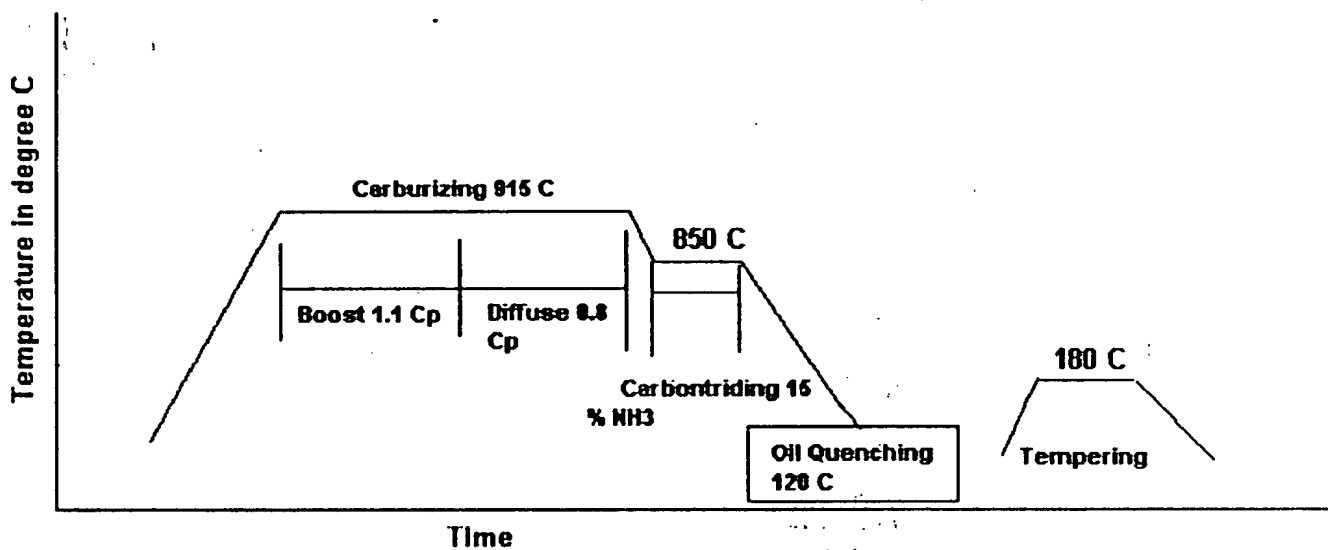


FIGURE 1

10

15

20

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